

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of Invention**      **Methods and Compositions for Modulating T Lymphocytes**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/764,330, filed on 01/23/2004,  
☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/ we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application.

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor one: Michael P. Cooke

Signature: 

Citizen of: US

Inventor two: Karsten Sauer

Signature: 

Citizen of: Germany

Inventor three: Tim Wiltshire

Signature: 

Citizen of: New Zealand

Inventor four: Lisa Tarantino

Signature: 

Citizen of: US



☒ Additional inventors or a legal representative are being named on 1 additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**DECLARATION****ADDITIONAL INVENTOR(S)  
Supplemental Sheet**

Page 2 of 2

|  |           |   |    |
|--|-----------|---|----|
| <b>Name of Additional Inventor, if any</b>   |           | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |
| Given Name (first and middle (if any))   |           | Family Name or Surname  |    |
| Colin  |           | Fletcher  |    |
| Inventor's Signature  |           | Date 7/13/04  |    |
| Residence: City  | Del Mar   | State   | CA |
| Country  | US        | Citizenship   | US |
| Mailing Address 14011 Mango Drive, #E  |           |   |    |
| Mailing Address  |           |   |    |
| City   | Del Mar   | State   | CA |
| Zip  | 92014     | Country   | US |
| <b>Name of Additional Inventor, if any</b>   |           | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |
| Given Name (first and middle (if any))   |           | Family Name or Surname  |    |
| Ben  |           | Wen   |    |
| Inventor's Signature  |           | Date 7-12-2004  |    |
| Residence: City  | Encinitas | State   | CA |
| Country  | US        | Citizenship   | US |
| Mailing Address 834 Summersong Court   |           |   |    |
| Mailing Address  |           |   |    |
| City   | Encinitas | State   | CA |
| Zip  | 92024     | Country   | US |
| <b>Name of Additional Inventor, if any</b>   |           | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |
| Given Name (first and middle (if any))   |           | Family Name or Surname  |    |
|  |           |   |    |
| Inventor's Signature   |           | Date  |    |
| Residence: City  |           | State   |    |
| Country  |           | Citizenship   |    |
| Mailing Address  |           |   |    |
| Mailing Address  |           |   |    |
| City   |           | State   |    |
| Zip  |           | Country   |    |

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Michael P. CookeApplication No./Patent No.: 10/764,330Filed/Issue Date: 01/23/2004Entitled: Methods and Compositions for Modulating T LymphocytesIRM LLCa corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title, and interest

The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

**OR**

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_

To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_

To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_

To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

- ☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

**(NOTE:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8)

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

August 3, 2004

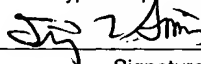
Date

858-812-1547

Telephone Number

Timothy L. Smith

Typed or printed name



Signature

General Power of Attorney

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



ASSIGNMENT

**COPY**

In return for good and valuable consideration paid to the undersigned inventor(s) (hereafter called the "ASSIGNOR"), by:

IRM, LLC.  
c/o Sofia House  
48 Church Street  
Hamilton HM LX, Bermuda

(hereinafter ASSIGNEE), the receipt of which is hereby acknowledged, the undersigned ASSIGNOR(s) hereby sells, assigns and transfers to ASSIGNEE his entire right, title and interest to the invention entitled:

COMPOUNDS AND COMPOSITIONS AS PROTEIN KINASE INHIBITORS

For which application for Letters Patent of the United States was filed on January 23, 2004 as Application No. 10/764,330 and all Letters Patent of the United States to be obtained therefor on said application or any continuation, divisional, substitute, reissue or reexamination, or foreign counterpart thereof for the full term or terms for which the same may be granted.

The ASSIGNOR(s) agrees to execute all papers necessary in connection with the application and any continuation, divisional, substitute, reissue or reexamination applications thereof or corresponding foreign applications, and also to execute separate assignments in connection with such applications as the ASSIGNEE may deem necessary or expedient and perform any act which may be necessary in connection with claims or provisions of the International Convention for Protection of Industrial Property or similar agreements.

The ASSIGNOR(s) agrees to execute all papers necessary in connection with any interference, litigation, or other legal proceeding, which may be declared concerning this application or any continuation, divisional, substitute, reissue or reexamination thereof, or corresponding foreign applications, and also to cooperate with the ASSIGNEE in every way possible in obtaining evidence and going forward with such interference, litigation, or other legal proceeding.

The ASSIGNOR(s) agree to perform all affirmative acts which may be necessary to obtain a grant of valid United States or foreign patents to the Assignee.

The ASSIGNOR(s) hereby authorizes and requests the Commissioner of Patents and the authorities of foreign country to issue any and all Letters Patents resulting from said application or any continuation, divisional, substitute, reissue or reexamine applications thereof, or foreign applications, to the said ASSIGNEE, as assigned of the entire interest, and hereby covenants that it has full right to convey the entire interest herein assigned, and that they have not executed and will not execute, any agreement in conflict herewith.

The ASSIGNOR(s) hereby grant SCOTT W. REID. Reg. No. 48,097, HUGH WANG Reg. No. 47,163, TIMOTHY L. SMITH Reg. No. 35,367, and all other attorneys employed by The Genomics Institute of the Novartis Research Foundation, which has a business address of 10675 John Jay Hopkins Drive, San Diego, CA 92121, the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

WITNESS my hand at San Diego, CA, this 12<sup>th</sup> day  
of July, 2004.

  
Michael P. Cooke

STATE OF CALIFORNIA )

)

ss.

COUNTY OF SAN DIEGO )

On July 12, 2004, before me, the undersigned Notary Public, personally appeared  
Michael P. Cooke.

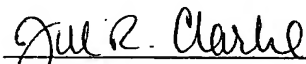
✓ personally known to me

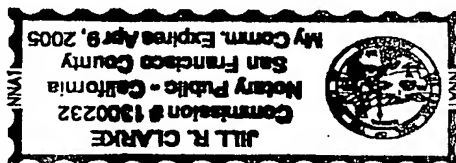
or

                     proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he  
executed the same in his authorized capacity, and that by his signature on the instrument the person, or  
the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

  
Notary Public



WITNESS my hand at San Diego, California, this 27<sup>th</sup> day  
of July, 2004.

Karsten Sauer  
Karsten Sauer

STATE OF CALIFORNIA )

) ss.

COUNTY OF SAN DIEGO )

On July 27, 2004, before me, the undersigned Notary Public, personally appeared  
Karsten Sauer.

✓ personally known to me

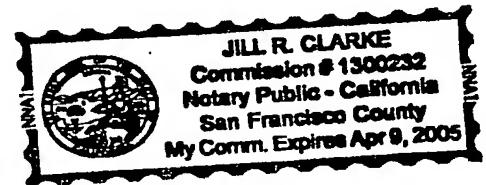
or

                     proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he  
executed the same in his authorized capacity, and that by his signature on the instrument the person, or  
the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke  
Notary Public



WITNESS my hand at SAN Diego CA, this 16th day  
of July, 2004.

T. Wiltshire  
Tim Wiltshire

STATE OF CALIFORNIA )

)

ss.

COUNTY OF SAN DIEGO )

On July 16, 2004, before me, the undersigned Notary Public, personally appeared Tim  
Wiltshire.

✓ personally known to me

or

                     proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he  
executed the same in his authorized capacity, and that by his signature on the instrument the person, or  
the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke  
Notary Public



WITNESS my hand at San Diego, this 14<sup>th</sup> day  
of July, 2004.  
Lisa M. Tarantino  
Lisa Tarantino

STATE OF CALIFORNIA )

)

ss.

COUNTY OF SAN DIEGO )

On July 14, 2004, before me, the undersigned Notary Public, personally appeared Lisa  
Tarantino.

✓ personally known to me

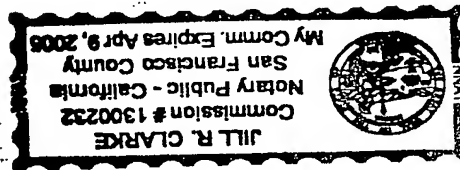
or

                     proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he  
executed the same in his authorized capacity, and that by his signature on the instrument the person, or  
the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke  
Notary Public



WITNESS my hand at San Diego, CA, this 13 day  
of July, 2004.

Colin Fletcher  
Colin Fletcher

STATE OF CALIFORNIA )

)

ss.

COUNTY OF SAN DIEGO )

On July 13, 2004, before me, the undersigned Notary Public, personally appeared Colin Fletcher.

✓ personally known to me

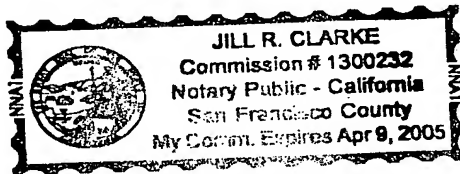
or

                     proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke  
Notary Public



WITNESS my hand at San Diego, CA, this 12<sup>th</sup> day  
of July, 2004.

Ben Wen  
Ben Wen

STATE OF CALIFORNIA )

) ss.

COUNTY OF SAN DIEGO )

On July 12<sup>th</sup>, 2004, before me, the undersigned Notary Public, personally appeared Ben Wen.

✓ personally known to me

or

                     proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke  
Notary Public

